



PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

Docket No: Q68180

Stephen William ROBERTS

Appln. No.: 10/050,575

Group Art Unit: 2874

Confirmation No.: 7057

Examiner: Not yet Assigned

Filed: January 18, 2002

For: CONTROLLING BIREFRINGENCE IN AN OPTICAL WAVEGUIDE AND IN AN
ARRAYED WAVEGUIDE GRATING

**INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. §§ 1.97 and 1.98**

Commissioner for Patents
Washington, D.C. 20231

Sir:

In accordance with the duty of disclosure under 37 C.F.R. § 1.56, Applicant hereby
notifies the U.S. Patent and Trademark Office of the documents which are listed on the attached
PTO/SB/08 A & B (modified) form and/or listed herein and which the Examiner may deem
material to patentability of the claims of the above-identified application.

One copy of each of the listed documents is submitted herewith.

The present Information Disclosure Statement is being filed: (1) No later than three
months from the application's filing date for an application other than a continued prosecution
application (CPA) under § 1.53(d); (2) Before the mailing date of the first Office Action on the
merits (whichever is later); or (3) Before the mailing date of the first Office Action after filing a
request for continued examination (RCE) under § 1.114, and therefore, no Statement under
37 C.F.R. § 1.97(e) or fee under 37 C.F.R. § 1.17(p) is required.

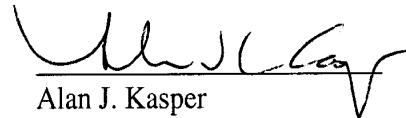
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INFORMATION DISCLOSURE STATEMENT

U.S. Appln. No.: 10/050,575

The submission of the listed documents is not intended as an admission that any such document constitutes prior art against the claims of the present application. Applicant does not waive any right to take any action that would be appropriate to antedate or otherwise remove any listed document as a competent reference against the claims of the present application.

Respectfully submitted,



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WASHINGTON OFFICE



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PATENT TRADEMARK OFFICE

Date: March 3, 2003

Substitute for Form 1449 A & B/PTO

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

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Complete if Known

Application Number	10/050,575
Confirmation Number	7057
Filing Date	January 18, 2002
First Named Inventor	Stephen William ROBERTS
Art Unit	2874
Examiner Name	Not yet Assigned
Attorney Docket Number	Q68180

U.S. PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city, and/or country where published.	Translation ⁶
		P.D. TRINH et al., <i>Silicon-on-Insulator (SOI) Phased-Array Wavelength Multi/Demultiplexer with Extremely Low-Polarization Sensitivity</i> , Photonics Technology Letters, Vol. 9. No. 7. July 1997	
		U. FISCHER et al., <i>Singlemode optical switches based on SOI waveguides with large cross-section</i> , Electronics Letters March 3, 1994 Vol. 30 No. 5	

Examiner Signature _____ **Date Considered** _____

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Applicant's unique citation designation number (optional). ²See Kind Codes of USPTO Patent Documents at www.uspto.gov, MPEP 901.04 or in the comment box of this document. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST. 3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to indicate here if English language Translation is attached.